

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Kazuto HIROKAWA et al. : **Mail Stop: PCT**  
Serial No. NEW : Attorney Docket No. 2005-1624A  
Filed October 21, 2005 :  
SUBSTRATE PROCESSING METHOD  
AND SUBSTRATE PROCESSING  
APPARATUS  
[Corresponding to PCT/JP2004/005637  
Filed April 20, 2004]  
THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application  
PCT/\_\_\_\_\_; and/or
- ☐ each reference previously cited in prior parent application Serial No.  
\_\_\_\_\_.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the  
above-entitled application, **or**

ATTACHMENT C }

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

JC20 Rec'd PCT/PTO 21 OCT 2005

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☒ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page,
  - d. ☒ the concise explanation set forth in the attached English language abstract,
  - e. ☒ the concise explanation set forth below or on a separate sheet attached to the reference:
    - EP 1 278 241 A2 corresponds to JP 2003-31577
    - US 2002/0016064 corresponds to JP 2001-338926
    - US 2003/0049927 corresponds to JP 2003-77920
    - EP 1 170 083 A2 & US 2002/0020630 corresponds to JP 2002-292523
    - EP 1 104 013 A2 & US 6,299,741 corresponds to JP 2001-203179
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Kazuto HIROKAWA et al.

By 

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October 21, 2005

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FORM PTO 1449 (modified)

ATTY DOCKET NO.  
2005-1624ASERIAL NO.  
NEW

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U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: October 21, 2005

APPLICANT  
Kazuto HIROKAWA et al.FILING DATE  
October 21, 2005

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	2002/0016064	2/2002	Komai et al.			
	AB	2003/0049927	3/2003	Tonegawa et al.			
	AC	2002/0020630	2/2002	Mori et al.			
	AD	6,299,741	10/2001	Sun et al.			
	AE	6,693,036	2/2004	Nogami et al.			
	AF	6,379,223	4/2002	Sun et al.			
	AG	6,299,741	10/2001	Sun et al.			
	AH	6,709,979	3/2004	Komai et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AI	1 278 241 A2	1/2003	EP				
	AJ	2001-358105	12/2001	JP			abstract	
	AK	2001-77117	3/2001	JP			abstract	
	AL	2000-133623	5/2000	JP			abstract	
	AM	1 170 083 A2	1/2002	EP				
	AN	10-209090	8/1998	JP			abstract	
	AO	10-214834	8/1998	JP			abstract	
	AP	1 104 013 A2	5/2001	EP				
	AQ	00/03426	1/2000	WO				
	AR	7-283177	10/1995	JP			abstract	

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.

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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,643,046	7/1997	Katakabe et al.			
	AB	6,582,282	6/2003	Somekh			
	AC	5,676,587	10/1997	Landers et al.			
	AD						
	AE						
	AF						
	AG						
	AH						

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	AI	2003-31577	1/2003	JP			abstract
	AJ	2001-338926	12/2001	JP			abstract
	AK	2003-77920	3/2003	JP			abstract
	AL	2002-292523	10/2002	JP			abstract
	AM	2001-203179	7/2001	JP			X
	AN	2002-353223	12/2002	JP			abstract
	AO	2001-144050	5/2001	JP			abstract
	AP	2001-284297	10/2001	JP			abstract

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	
	AR	

EXAMINER

DATE CONSIDERED